Organizational Standards Center of Excellence
Draft Assessment Tool for Private CAAs

After a nine-month Network-wide effort, 56 proposed Organizational Standards were submitted to the Office of Community Services on July 10, 2013. While the Community Action Network awaits feedback and response to the proposed Standards from OCS, both Community Action Agencies and State CSBG Offices are seeking tools they can use to assess where organizations stand when measured against the proposed Standards, and where training and technical assistance may be desired.

This tool is designed to be used by private (nonprofit) CAAs.

It is important to note:

- **The proposed 56 Standards are not final.** We are awaiting OCS feedback on content and implementation process before these tools can be finalized.
- **This tool is meant to be a resource for Agencies and States and is meant to be used internally.** It is not intended to be used for monitoring purposes. It is hoped this promotes conversation, dialogue, and cooperation.
- **Similar tools have been developed for Agencies and States.** While the tools have slightly different presentations for Agencies and States, the language and guidance is the same on each Standard. There is also some variance on language related to private CAAs and public CAAs as there is in the Standards document.
- **The guidance provided is in draft form,** and should not be considered binding in any way.
- **This tool is in draft form and will change going forward.** It is built off the platform used during the Standards pilot phase of development and we welcome your feedback on how to improve this resource and input into what other resources should be developed to assist States and Agencies.

We very much appreciate your willingness to stay ahead of the curve on assessing your organization’s performance in comparison to the Standards and we look forward to hearing from you how about how to improve this tool.

For each of the Standards, there are several elements on this tool:

**First,** there is brief guidance based on what has been heard in the field on each Standard. It is not binding guidance, and attempts to clarify issues that have been raised without unintentionally narrowing them. A fine line at times and your feedback is welcomed.

**Second,** is the Standard assessed as *Met* or *Not Met*?

**Third,** what document(s) were used to assess the Standard? Agencies that have had reviews that relied on specific documentation have found it easier to demonstrate they meet a Standard. Recording the tool(s) used on this assessment may assist in gathering additional documentation in the future.

**Fourth,** there are places following each Standard to capture general notes and to outline next steps if needed or desired.

*Questions or feedback?* Contact Denise Harlow at dharlow@communityactionpartnership.com or 202-595-0660 or Cashin Yiu at cyiu@communityactionpartnership.com or 202-683-9090.
**Maximum Feasible Participation – Category 1: Consumer Input and Involvement**

**Standard 1.1** The Organization demonstrates low-income participation in its activities.

**Guidance:**
- This is broader than board membership.
- Can include advisory bodies to the board.
- Can include activities such as Head Start Policy Council, tenant or neighborhood councils, and volunteering, etc.

**Agency Self-Assessment:**
- [ ] Met
- [ ] Not Met

**Documentation used: (Check all that apply)**
- [ ] Advisory Group Documents
- [ ] Advisory Group Minutes
- [ ] Activity Participation Lists
- [ ] Board Minutes
- [ ] Board Pre-Meeting Materials/Packet
- [ ] Volunteer Lists and Documents

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**

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*DRAFT* Organizational Standards Assessment Tool – Self-Evaluation for Private CAAs
## Maximum Feasible Participation – Category 1: Consumer Input and Involvement

<table>
<thead>
<tr>
<th>Standard 1.2</th>
<th>The Organization analyzes information collected directly from low-income individuals as part of the Community Assessment.</th>
</tr>
</thead>
</table>

**Guidance:**
- Reflects the need for CAAs to talk directly with low-income individuals
- This can include focus groups, interviews, community forums, customer surveys, etc.

**Agency Self-Assessment:**
- ☐ Met
- ☐ Not Met

**Documentation used: (Check all that apply)**
- ☐ Community Assessment Document (Including Appendices)
- ☐ Backup Documentation/Data Summaries
- ☐ Community Forum Summaries
- ☐ Interview Transcripts

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**

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*DRAFT* Organizational Standards Assessment Tool – Self-Evaluation for Private CAAs
## Maximum Feasible Participation – Category 1: Consumer Input and Involvement

<table>
<thead>
<tr>
<th>Standard 1.3</th>
<th>The Organization has a systematic approach for collecting, analyzing, and reporting customer satisfaction data to the governing board.</th>
</tr>
</thead>
</table>

**Guidance:**
- This reflects the need for any business to gather information regarding customer satisfaction.
- This does not imply that a specific satisfaction level needs to be achieved.
- Documentation is needed to demonstrate all three components in order to meet the Standard: 1) collection, 2) analysis, and 3) reporting of data.

### Agency Self-Assessment:

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</table>

**Documentation used: (Check all that apply)**

- Customer Satisfaction Policy and/or Procedures
- Customer Satisfaction Instruments, e.g., Survey, Data Collection Tools and Schedule
- Customer Satisfaction Reports To Agency Leadership, Board and/or Broader Community
- Board/Committee Minutes

**Any other documentation utilized to demonstrate the Standard?**

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**Notes:**

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**Action items/next steps to meet the Standard:**

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Maximum Feasible Participation – Category 2: Community Engagement

Standard 2.1 The Organization has documented or demonstrated partnerships across the community, specifically including other anti-poverty organizations in the area.

Guidance:
- Partnerships are considered to be mutually beneficial arrangements wherein each entity contributes and/or receives: time, effort, expertise and/or resources.
- These could be documented through MOUs, contracts, agreements, documented outcomes, etc.
- This does not require that all partnerships are documented.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Partnership Documentation: Agreements, Emails, MOU/MOAs
☐ Sub Contracts With Delegate/Partner Agencies
☐ Coalition Membership Lists
☐ Strategic Plan Update/Report If It Demonstrates Partnerships

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Maximum Feasible Participation – Category 2: Community Engagement

Standard 2.2  The Organization utilizes information gathered from key sectors of the community in assessing needs and resources. This would include at minimum: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions.

Guidance:
- Engagement may include: key informant interviews, staff participation in other community groups/advisory bodies, community-wide processes, etc.
- Documentation is needed to demonstrate that all five sectors have been engaged: community-based organizations, faith-based organizations, private sector, public sector, and educational institutions
- If one or more of these sectors are not present in the community or refuses to participate, then the CAA needs to demonstrate the gap or a good faith effort to engage the sector(s).

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Community Assessment Document (Including Appendices)
☐ Backup Documentation of Involvement: Surveys, Interview Documentation, Community Meeting Minutes, Etc.
☐ Board/Committee Minutes

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
**Standard 2.3**  The Organization communicates its activities and its results to the community.

**Guidance:**
- This may be met through a CAAs annual report, Social Media activity, traditional news media, community outreach activities, etc.

**Agency Self-Assessment:**
- ☐ Met
- ☐ Not Met

**Documentation used: (Check all that apply)**
- ☐ Annual Report
- ☐ Website, Facebook Page, Twitter Account, Etc. (regularly updated)
- ☐ Media Files of Stories Published
- ☐ News Release Copies
- ☐ Community Event Information
- ☐ Communication Plan

**Any other documentation utilized to demonstrate the Standard?**

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**Notes:**

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**Action items/next steps to meet the Standard:**

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Maximum Feasible Participation – Category 2: Community Engagement

Standard 2.4  The Organization documents the number of volunteers and hours mobilized in support of its activities.

Guidance:
- There is no requirement to utilize volunteers, only to document their number and hours, if utilized.
- This information should already be collected as part of reporting NPIs.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Data on Number of Volunteers and Hours Provided
☐ Board Minutes
☐ Documentation of Tracking System(s)

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
### Maximum Feasible Participation – Category 3: Community Assessment

<table>
<thead>
<tr>
<th>Standard 3.1</th>
<th>The Organization conducted a Community Assessment and issued a report within the past 3 years.</th>
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</table>

**Guidance:**
- This Standard refers to what is sometimes called a Community Needs Assessment, and requires that CAAs assess both needs and resources in the community.
- This may require CSBG Lead Offices to adjust timeframes for required submission.
- The report may be electronic or print, and may be circulated as the CAA deems appropriate.
- It may be helpful for CAAs to document the report release date such as April 2013 or December 2015.

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<tr>
<th>Agency Self-Assessment:</th>
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<th>☐ Not Met</th>
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</table>

**Documentation used:** (Check all that apply)
- ☐ Community Assessment Document with Date Noted

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**

### Maximum Feasible Participation – Category 3: Community Assessment

**Standard 3.2**  
As part of the Community Assessment, the Organization collects and includes current data specific to poverty and its prevalence related to gender, age, and race/ethnicity for their service area(s).

**Guidance:**
- Documentation is needed to demonstrate all four categories in order to meet the Standard: gender, age, race, and ethnicity.

**Agency Self-Assessment:**
- ☐ Not Met
- ☐ Met

**Documentation used: (Check all that apply)**
- ☐ Community Assessment Document (Including Appendices)
- ☐ Backup Information Including Census and Other Demographic Data

**Any other documentation utilized to demonstrate the Standard?**

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**Action items/next steps to meet the Standard:**

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</table>
# Maximum Feasible Participation – Category 3: Community Assessment

## Standard 3.3
The Organization collects and analyzes both qualitative and quantitative data on its geographic service area(s) in the Community Assessment.

**Guidance:**
- Documentation is needed to demonstrate that both types of data are collected in order to meet the Standard:
  - Qualitative: this includes focus groups, interviews, community forums, etc.
  - Quantitative: this is numeric information, e.g. Census data, program counts, demographic information, and other statistical sources.
- Documentation on data analysis is also required in order to meet the Standard.

### Agency Self-Assessment:
- [ ] Met
- [ ] Not Met

### Documentation used: (Check all that apply)
- [ ] Community Assessment Document (Including Appendices)
- [ ] Backup Documentation
- [ ] Broader Community-wide Assessments
- [ ] Other Data Collection Process on Poverty
- [ ] Committee/Team Meeting Minutes Reflecting Analysis

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
<table>
<thead>
<tr>
<th>Maximum Feasible Participation – Category 3: Community Assessment</th>
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**Standard 3.4**  The governing board formally accepts the completed Community Assessment.

**Guidance:**
- This would be met through the Board voting on a motion to accept the Assessment at a regular board meeting and documenting this in the minutes.

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**Documentation used: (Check all that apply)**
- ☐ Community Assessment Document
- ☐ Board Minutes
- ☐ Board Pre-Meeting Materials/Packet

**Any other documentation utilized to demonstrate the Standard?**

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**Vision and Direction – Category 4: Organizational Leadership**

**Standard 4.1** The governing board has reviewed the Organization’s mission statement within the past 5 years and assured that:

1. The mission addresses poverty; and
2. The Organization’s programs and services are in alignment with the mission.

**Guidance:**

- “Addresses poverty” does not require using the specific word poverty in the Organization's mission.
- Language such as but not limited to: low-income, self-sufficiency, economic security, etc. is acceptable.
- It is the board that determines if the programs and services are in alignment with the mission.

**Agency Self-Assessment:**

- [ ] Met
- [ ] Not Met

**Documentation used: (Check all that apply)**

- [ ] Board Minutes
- [ ] Strategic Plan
- [ ] Mission Statement

**Any other documentation utilized to demonstrate the Standard?**


**Notes:**


**Action items/next steps to meet the Standard:**


**DRAFT** Organizational Standards Assessment Tool – Self-Evaluation for Private CAAs
### Vision and Direction – Category 4: Organizational Leadership

#### Standard 4.2
The Organization's Community Action Plan is outcome-based, anti-poverty focused, and ties directly to the Community Assessment.

**Guidance:**
- The State Lead Agency is responsible for determining the Plan's format, and needs to ensure that the three components are readily identifiable.
- The Plan needs to be focused on outcomes, i.e., changes in status (such as hunger alleviation vs. food baskets).

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**Documentation used: (Check all that apply)**
- ☐ CAP Plan*
- ☐ Logic Model
- ☐ Community Assessment

* Sometimes called CSBG Plan or CSBG Workplan

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Vision and Direction – Category 4: Organizational Leadership

Standard 4.3 The Organization’s Community Action Plan and Strategic Plan document the continuous use of the full ROMA cycle or comparable system (assessment, planning, implementation, achievement of results, and evaluation). In addition, the Organization documents having used the services of a ROMA-certified trainer (or equivalent) to assist in implementation.

Guidance:
- There is no requirement to have a certified ROMA trainer on staff at the Organization.
- While a ROMA trainer (or equivalent) must be involved, it is up to the Organization to determine the manner in which this individual is utilized. Examples include: involving the trainer in Strategic Planning meetings, consultation on implementation, etc.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Certified ROMA Trainer In The Agency
☐ Agreement With Certified Trainer Not Within The Agency To Provide ROMA Services
☐ Strategic Plan (including appendices)
☐ The Community Action Plan (including appendices)
☐ Meeting Summaries of ROMA Trainer Participation

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Vision and Direction – Category 4: Organizational Leadership

Standard 4.4 The Organization has a written succession plan in place for the CEO/ED, approved by the governing board, which contains procedures for covering an emergency/unplanned, short-term absence of 3 months or less, as well as outlines the process for filling a permanent vacancy.

Guidance:
- Board approval would most likely occur through a board vote at a regular board meeting
- Documentation must include both elements: 1) plan for emergency/unplanned absence and 2) policy for filling a permanent vacancy.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board Minutes
☐ Succession Plan/Policy
☐ Short Term Succession Plan

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Vision and Direction – Category 4: Organizational Leadership

Standard 4.5 An organization-wide risk assessment has been completed within the past 2 years and reported to the governing board.

Guidance:
- Reporting to the governing board would most likely occur at a regular board meeting and should be reflected in minutes.
- It is important to note that to meet the Standard the organization only has to complete the assessment and report to the board. The results of the assessment are internal to the organization and therefore private.
- There is no one mandatory tool for completing this task. This is more comprehensive than the financial risk assessment contained in the audit and may also include such areas as: insurance, transportation, facilities, staffing, property, etc. To meet the Standard, the tools(s) used needs to address organization-wide functions, not only individual program requirements.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Risk Assessment Policy and/or Procedures
☐ Board Minutes
☐ Completed Risk Assessment Tool
☐ Risk Assessment Reports

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Vision and Direction – Category 5: Board Governance

Standard 5.1 The Organization’s governing board is structured in compliance with the CSBG Act:
1. At least one third democratically-selected representatives of the low-income community;
2. With one-third local elected officials (or their representatives); and
3. The remaining membership from major groups and interests in the community.

Guidance:
• This Standard is based on the CSBG Act and addresses the composition structure of the board only.
• See the CSBG Act and IM 82 for comprehensive guidance.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board Minutes
☐ Board Roster
☐ Bylaws

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
**Vision and Direction – Category 5: Board Governance**

<table>
<thead>
<tr>
<th>Standard 5.2</th>
<th>The Organization’s governing board has written procedures that document a democratic selection process for low-income board members adequate to assure that they are representative of the low-income community.</th>
</tr>
</thead>
</table>

**Guidance:**
- See the CSBG Act and IM 82 for comprehensive guidance.

**Agency Self-Assessment:**
- Met
- Not Met

**Documentation used: (Check all that apply)**
- Board Policies and Procedures
- Board Minutes
- Bylaws

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
**Vision and Direction – Category 5: Board Governance**

**Standard 5.3** The Organization’s bylaws have been reviewed by an attorney within the past 5 years.

**Guidance:**
- There is no requirement that the attorney be paid
- Final reviews by attorneys on the board or on staff are not recommended, but are not disallowed.

**Agency Self-Assessment:**
- ☐ Met
- ☐ Not Met

**Documentation used: (Check all that apply)**
- ☐ Bylaws
- ☐ Board Minutes
- ☐ Attorney Statement/Invoice

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Vision and Direction – Category 5: Board Governance

Standard 5.4  The Organization documents that each governing board member has received a copy of the bylaws within the past two years.

Guidance:
- This may be accomplished through electronic or hard copy distribution.
- A signed and dated acknowledgement of receipt or email acknowledgement is sufficient to meet the Standard.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board Minutes
☐ Board Pre-Meeting Materials/Packet
☐ Bylaws
☐ List of Signatures
☐ Copies of Acknowledgements

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
## Vision and Direction – Category 5: Board Governance

### Standard 5.5

The Organization's governing board meets in accordance with the frequency and quorum requirements and fills board vacancies as set out in its bylaws.

**Guidance:**
- There are no requirements on the meeting frequency or quorum; only that Organization's abide by their approved bylaws.

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**Documentation used: (Check all that apply)**
- ☐ Board Minutes
- ☐ Board Roster
- ☐ Board Bylaws

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Vision and Direction – Category 5: Board Governance

Standard 5.6  Each governing board member has signed a conflict of interest policy within the past 2 years.

Guidance:
- There is no requirement to use a specific conflict of interest policy, only that the Organization utilizes one that meets its needs.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Board Minutes
☐ Conflict of Interest Policy/Procedures
☐ Signed Policies/Signature List

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
## Vision and Direction – Category 5: Board Governance

<table>
<thead>
<tr>
<th>Standard 5.7</th>
<th>The Organization has a process to provide a structured orientation for governing board members within 6 months of being seated.</th>
</tr>
</thead>
</table>

### Guidance:
- Orientation may be done by board and/or staff, and there is no specific curricula requirement.
- The Organization must have documentation of its process (including content), as well as documentation that each board member has received such orientation.
- Please note that to meet the Standard, the organization must only document the process.

### Agency Self-Assessment:
- [ ] Not Met
- [ ] Met

### Documentation used: (Check all that apply)
- [ ] Board Policy/Procedures
- [ ] Board Training Materials
- [ ] Board Member Acknowledgement/Signature

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
**Vision and Direction – Category 5: Board Governance**

<table>
<thead>
<tr>
<th>Standard 5.8</th>
<th>Governing board members have been provided with training on their duties and responsibilities within the past two years.</th>
</tr>
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</table>

**Guidance:**
- There is no specific curricula requirement, or training methodology required.
- Training may be delivered at board meetings, special sessions, at conferences, or through electronic media.
- The organization must have documentation of its training (including content) as well as documentation that each board member has been provided with training opportunities.

**Agency Self-Assessment:**
- ☐ Met
- ☐ Not Met

**Documentation used: (Check all that apply)**
- ☐ Training Agendas
- ☐ Attendee List
- ☐ Board Minutes
- ☐ Documentation of Board Attendance At Offsite Training Conferences/Events/Webinars etc.

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
**Vision and Direction – Category 5: Board Governance**

<table>
<thead>
<tr>
<th>Standard 5.9</th>
<th>The Organization’s governing board receives programmatic reports at each regular board meeting.</th>
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</table>

**Guidance:**
- This Standard does not require a report on each program at every board meeting; however, it does call for some level of programmatic reporting at every board meeting. Organizations determine their own process to report programs to the board. For example, some organizations may cycle through their programs semi-annually, others may do so on a quarterly basis, and yet others may do a brief summary at every board meeting.

**Agency Self-Assessment:**
- □ Met
- □ Not Met

**Documentation used: (Check all that apply)**
- □ Board Minutes
- □ Board Pre-Meeting Materials/Packet
- □ Programmatic Reports

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
## Vision and Direction – Category 6: Strategic Planning

**Standard 6.1** The Organization has an agency-wide Strategic Plan in place that has been approved by the governing board within the past 5 years.

**Guidance:**
- This is intended to be an Organization-wide document, not a list of individual program goals.
- Board approval would occur by a board at a regular board meeting and documented in the minutes.

### Agency Self-Assessment:
- [ ] Met
- [ ] Not Met

### Documentation used: (Check all that apply)
- [ ] Board Minutes
- [ ] Strategic Plan

**Any other documentation utilized to demonstrate the Standard?**

Notes:

Action items/next steps to meet the Standard:
### Vision and Direction – Category 6: Strategic Planning

**Standard 6.2** The approved Strategic Plan addresses reduction of poverty, revitalization of low-income communities, and/or empowerment of people with low incomes to become more self-sufficient.

**Guidance:**
- These are the purposes of CSBG as laid out in the Act.
- These specific terms are not required, but the Plan needs to include one or more of the themes noted in the Standard.

**Agency Self-Assessment:**
- [ ] Met
- [ ] Not Met

**Documentation used: (Check all that apply)**
- [ ] Strategic Plan

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**

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DRAFT Organizational Standards Assessment Tool – Self-Evaluation for Private CAAs
### Vision and Direction – Category 6: Strategic Planning

<table>
<thead>
<tr>
<th>Standard 6.3</th>
<th>The approved Strategic Plan contains Family, Agency, and/or Community goals.</th>
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</table>

**Guidance:**
- These goals are set out as part of ROMA, referenced in IM 49, and provide the framework for the National Performance Indicators.
- These specific terms are not required, but the Plan must address one or more of these dimensions.

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<th>Agency Self-Assessment:</th>
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<tr>
<td>☐ Met</td>
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<tr>
<td>☐ Not Met</td>
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</tbody>
</table>

**Documentation used: (Check all that apply)**
- ☐ Strategic Plan

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
## Vision and Direction – Category 6: Strategic Planning

<table>
<thead>
<tr>
<th>Standard 6.4</th>
<th>Customer satisfaction data and customer input, collected as part of the Community Assessment, is included in the strategic planning process.</th>
</tr>
</thead>
</table>

### Guidance:
- This Standard links the Community Assessment with Strategic Planning.
- There is no requirement to do additional data collection.

### Agency Self-Assessment:
- [ ] Met
- [x] Not Met

### Documentation used: (Check all that apply)
- [ ] Strategic Plan Including Appendices
- [ ] Notes From Strategic Planning Process
- [ ] Customer Satisfaction Data/Reports
- [ ] Customer Input Data/Reports

### Any other documentation utilized to demonstrate the Standard?

### Notes:

### Action items/next steps to meet the Standard:
**Vision and Direction – Category 6: Strategic Planning**

**Standard 6.5**  
The governing board has received an update(s) on meeting the goals of the Strategic Plan within the past 12 months.

**Guidance:**
- The CSBG Act requires that board be involved with assessment, planning, implementation, and evaluation of programs; this Standard supports meeting that requirement.
- This Standard would be met by an update being provided at a regular board meeting, or a planning session, and documented in the minutes.

**Agency Self-Assessment:**
☐ Met  
☐ Not Met

**Documentation used: (Check all that apply)**
☐ Strategic Plan Update/Report  
☐ Board Minutes  
☐ Board Pre-Meeting Materials/Packet

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Operations and Accountability – Category 7: Human Resource Management

Standard 7.1  The Organization has written personnel policies that have been reviewed by an attorney and approved by the governing board within the past 5 years.

Guidance:  
- There is no requirement that the attorney be paid.
- Final reviews by attorneys on the board or on staff are not recommended, but are not disallowed.

Agency Self-Assessment:  
☐ Met  
☐ Not Met

Documentation used: (Check all that apply)  
☐ Personnel Policies  
☐ Board Pre-Meeting Materials/Packet  
☐ Board Minutes  
☐ Statement/Invoice From An Attorney Reflecting The Review

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
## Operations and Accountability – Category 7: Human Resource Management

<table>
<thead>
<tr>
<th>Standard 7.2</th>
<th>The Organization makes available the Employee Handbook (or personnel policies in cases without a Handbook) to all staff and notifies staff of any changes.</th>
</tr>
</thead>
</table>

**Guidance:**
- The Handbook may be available in electronic or print formats.
- The process for notification of changes is up to the individual Organization.

**Agency Self-Assessment:**
- [ ] Met
- [ ] Not Met

**Documentation used: (Check all that apply)**
- [ ] Employee Handbook/Personnel Policies
- [ ] Identified Process For Notifying Staff of Updates (May Be Included Within The Handbook/Policy)
- [ ] Documentation of Location and Availability of Handbook/Policies

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**

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36 DRAFT Organizational Standards Assessment Tool – Self-Evaluation for Private CAAs
### Operations and Accountability – Category 7: Human Resource Management

<table>
<thead>
<tr>
<th>Standard 7.3</th>
<th>The Organization has written job descriptions for all positions, which have been updated within the past 5 years.</th>
</tr>
</thead>
</table>

**Guidance:**
- This references job descriptions for each type of position, not each staff person.
- To meet the Standard, job descriptions may include date of last review/update; the Standard does not require changes when descriptions are reviewed.

<table>
<thead>
<tr>
<th>Agency Self-Assessment:</th>
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</table>

**Documentation used: (Check all that apply)**
- ☐ Organizational Chart/Staff List
- ☐ Job Descriptions
- ☐ Board or Committee Minutes Noting Documents Have Been Updated

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Operations and Accountability – Category 7: Human Resource Management

Standard 7.4  The governing board conducts a performance appraisal of the CEO/Executive Director within each calendar year.

Guidance:

- There is no specific appraisal tool required to be used.
- This may be accomplished through a committee or the full board; however, the full board should receive the results and have that reflected in the board minutes.

Agency Self-Assessment:

☐ Met
☐ Not Met

Documentation used: (Check all that apply)

☐ Board Minutes

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Standard 7.5  The governing board reviews and approves CEO/Executive Director compensation within every calendar year.

Guidance:
- The full board should review and approve the total compensation at a regular board meeting and have it reflected in the board minutes.

Agency Self-Assessment:
- Met
- Not Met

Documentation used: (Check all that apply)
- Board Minutes
- Executive Director/CEO Contract (If Applicable)

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
## Operations and Accountability – Category 7: Human Resource Management

**Standard 7.6** The Organization has a policy in place for regular written evaluation of employees by their supervisors.

### Guidance:
- The Standard calls for a policy being in place.
- The Standard is not intended to imply that 100% of employees must have an annual review. This is due to normal business conditions, e.g. timing of resignation/dismissal, FMLA leave, seasonal, etc.

### Agency Self-Assessment:
- ☐ Met
- ☐ Not Met

### Documentation used: (Check all that apply)
- ☐ Evaluation Process/Policy ( Likely Found In Personnel Policies and Procedures)

### Any other documentation utilized to demonstrate the Standard?

### Notes:

### Action items/next steps to meet the Standard:
# Operations and Accountability – Category 7: Human Resource Management

## Standard 7.7
The Organization has a whistleblower policy that has been approved by the governing board.

### Guidance:
- Once the whistleblower policy is approved and in place, there is no requirement for additional review under this Standard.
- This would be met through a vote by the board at a regular meeting and noted in the minutes.

### Agency Self-Assessment:
- ☐ Met
- ☐ Not Met

### Documentation used: (Check all that apply)
- ☐ Whistleblower Policy
- ☐ Board Minutes
- ☐ Board Pre-Meeting Materials/Packet

### Any other documentation utilized to demonstrate the Standard?

### Notes:

### Action items/next steps to meet the Standard:
Standard 7.8 All staff participate in a new employee orientation within 60 days of hire.

Guidance:
- There are not curricula requirements for the orientation.
- This may be met through individual or group orientations, and documented in personnel files.

Agency Self-Assessment:
- [ ] Met
- [ ] Not Met

Documentation used: (Check all that apply)
- [ ] Personnel Policies/Employee Handbook
- [ ] Orientation Materials
- [ ] Sampling of HR/Personnel Files For Documentation of Attendance

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Operations and Accountability – Category 7: Human Resource Management

Standard 7.9 The Organization conducts or makes available staff development/training (including ROMA) on an ongoing basis.

Guidance:
- There are no specific requirements for training topics, with the exception of ROMA.
- This Standard may be met through in-house, community-based, conference, online and other training modalities.
- This should be documented in personnel files.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Training Plan(s)
☐ Documentation of Trainings: Presentations, Evaluations, Attendee Lists
☐ Documentation of Attendance At Offsite Training Events/Conferences
☐ HR/Personnel Files

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
### Operations and Accountability – Category 8: Financial Operations and Oversight

**Standard 8.1** The Organization’s annual audit (or audited financial statements) is completed by a Certified Public Accountant on time in accordance with OMB A-133 (if applicable) and/or State audit threshold requirements.

**Guidance:**
- Please see and follow state and federal guidance related to audits.

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<tr>
<th>Agency Self-Assessment:</th>
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</table>

**Documentation used: (Check all that apply)**
- ☐ Completed Audit

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
### Operations and Accountability – Category 8: Financial Operations and Oversight

<table>
<thead>
<tr>
<th>Standard 8.2</th>
<th>All findings from the prior year’s annual audit have been assessed by the Organization and addressed where the governing board has deemed it appropriate.</th>
</tr>
</thead>
</table>

**Guidance:**

- This Standard can be met through board discussion and decisions at a regular board meeting with decisions noted in the minutes.

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</table>

**Documentation used: (Check all that apply)**

- [ ] Completed Audit
- [ ] Management Response To The Audit
- [ ] Board Minutes

**Any other documentation utilized to demonstrate the Standard?**

Notes:

Action items/next steps to meet the Standard:
Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.3 The Organization’s auditor presents the audit to the governing board.

Guidance:
- This Standard can be met via the auditor meeting with the appropriate committee including Finance, Finance/Audit, Audit, or Executive.
- The Auditor may make the presentation in person or via web or conference call as allowed by state law.
- The presentation should be reflected in the Minutes.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Completed Audit
☐ Board Minutes/Committee Minutes
☐ Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Operations and Accountability – Category 8: Financial Operations and Oversight

**Standard 8.4**  The governing board formally receives and accepts the audit.

**Guidance:**
- This Standard can be met through a board vote at a regular board meeting and reflected in the minutes.

**Agency Self-Assessment:**
- [ ] Met
- [ ] Not Met

**Documentation used: (Check all that apply)**
- [ ] Completed Audit
- [ ] Board Minutes

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
**Operations and Accountability – Category 8: Financial Operations and Oversight**

**Standard 8.5** The Organization has solicited bids for its audit within the past 5 years.

**Guidance:**
- The Standard does not require that an Organization switch auditors or partners, only that the audit is put out to bid within the 5-year time frame.

**Agency Self-Assessment:**
- Met
- Not Met

**Documentation used: (Check all that apply)**
- [ ] Agency Procurement Policy
- [ ] Documentation of Bid Process, Including RFP/RFQ, List of Vendors Receiving Notice, Proof of Any Publication of The Process
- [ ] Board Pre-Meeting Materials/Packet

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
### Operations and Accountability – Category 8: Financial Operations and Oversight

<table>
<thead>
<tr>
<th>Standard 8.6</th>
<th>The IRS Form 990 is completed annually and made available to the governing board for review.</th>
</tr>
</thead>
</table>

**Guidance:**

- The 990 is a publically available document, and specifically asks if the board has reviewed the document prior to its submission.
- The Standard would be met by documenting the review process in the board minutes; the Standard does not require board acceptance or approval of the 990.

**Agency Self-Assessment:**

- [ ] Met
- [ ] Not Met

**Documentation used: (Check all that apply)**

- [ ] IRS Form 990
- [ ] Board Minutes
- [ ] Board Pre-Meeting Materials/Packet
- [ ] Documentation of 990 Distribution to the board (mail, email, link)

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.7 The governing board receives financial reports at each regular meeting that include the following:
1. Organization-wide report on Revenue and Expenditures that compares Budget to Actual, categorized by program; and

Guidance:
- Categorization by program does not require reporting by individual funding stream; it may be by organization-defined program areas, e.g., Early Childhood, Energy, Housing, etc.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Financial Reports As Noted Above
☐ Board Minutes/Committee Minutes
☐ Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Standard 8.8 All required filings and payments related to payroll withholdings are completed on time.

Guidance:
• Is includes: federal, state, and local taxes; as well as insurance and retirement payments.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Payroll Tax Documentation/Filings
☐ Insurance Documentation (Health, Disability, Flex Accounts)
☐ Retirement Accounts Documentation
☐ Record of Payments To State, Federal, Insurance and Retirement Accounts

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
**Standard 8.9** The governing board annually approves an organization-wide budget.

**Guidance:**
- This would be met through approval at a regular board meeting and documented in the board minutes.
- This is intended to complement, not replace, program budgets.

**Agency Self-Assessment:**
- [ ] Met
- [ ] Not Met

**Documentation used: (Check all that apply)**
- [ ] Agency-Wide Budget
- [ ] Board Minutes
- [ ] Board Pre-Meeting Materials/Packet

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Standard 8.10 The Fiscal Policies have been reviewed by staff within the past 2 years, updated as necessary, with changes approved by the governing board.

Guidance:

- This would be met through approval at a regular board meeting and documented in the board minutes.
- There are no requirements for which specific staff need to be involved in the staff-level review.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Fiscal Policies/Procedures Manual
☐ Board Minutes/Committee Minutes
☐ Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
### Operations and Accountability – Category 8: Financial Operations and Oversight

<table>
<thead>
<tr>
<th>Standard 8.11</th>
<th>A written procurement policy is in place and has been reviewed by the governing board within the past 5 years.</th>
</tr>
</thead>
</table>

**Guidance:**
- This would be met through approval at a regular board meeting and documented in the board minutes.

**Agency Self-Assessment:**
- ☐ Met
- ☐ Not Met

**Documentation used: (Check all that apply)**
- ☐ Procurement Policy
- ☐ Board Minutes
- ☐ Board Pre-Meeting Materials/Packet

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.12  The Organization documents how it allocates shared costs through an indirect cost rate, or through a written cost allocation plan.

Guidance:
• If no approved indirect cost rate is in place, the Organization must have a written cost allocation plan.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Cost Allocation Plan
☐ Approved Indirect Cost Rate

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Operations and Accountability – Category 8: Financial Operations and Oversight

Standard 8.13 The Organization has a written policy in place for record retention and destruction.

Guidance:
- This includes the retention and destruction of both electronic and physical documents.

Agency Self-Assessment:
☐ Not Met
☐ Met

Documentation used: (Check all that apply)
☐ Document Retention and Destruction Policy

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
Operations and Accountability – Category 9: Data and Analysis

Standard 9.1  The Organization has a system or systems in place to track and report services customers receive.

Guidance:
- Some funders require their own systems be used; the Organization may or may not have an organization-wide system in place. As long as all services are tracked, this Standard would be met.

Agency Self-Assessment:
☐ Not Met  ☐ Met

Documentation used: (Check all that apply)
☐ Data System Documentation and/or Direct Observation
☐ Reports As Used By Staff, Leadership, Board or Cognizant Funder

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
**Operations and Accountability – Category 9: Data and Analysis**

<table>
<thead>
<tr>
<th>Standard 9.2</th>
<th>The Organization has a system or systems in place to track Family, Agency, and/or Community outcomes.</th>
</tr>
</thead>
</table>

**Guidance:**
- Some funders require their own systems be used; the Organization may or may not have an organization-wide system in place. As long as all outcomes are tracked, this Standard would be met.
- This may or may not be the same system(s) noted in 9.1

<table>
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<tr>
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<tr>
<td>☐ Met</td>
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<tr>
<td>☐ Not Met</td>
</tr>
</tbody>
</table>

**Documentation used: (Check all that apply)**
- [ ] Data System Documentation and/or Direct Observation
- [ ] Reports As Used By Staff, Leadership, Board or Cognizant Funder

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**
Operations and Accountability – Category 9: Data and Analysis

Standard 9.3 The Organization has analyzed its outcomes within the past 12 months.

Guidance:
- This Standard would be met through board or staff discussions as long as the analysis and discussion are documented.

Agency Self-Assessment:
☐ Met
☐ Not Met

Documentation used: (Check all that apply)
☐ Strategic Plan Update/Report
☐ Other Outcome Report
☐ Staff Meeting Minutes
☐ Board Minutes
☐ Board Pre-Meeting Materials/Packet

Any other documentation utilized to demonstrate the Standard?

Notes:

Action items/next steps to meet the Standard:
### Operations and Accountability – Category 9: Data and Analysis

| Standard 9.4 | The Organization submits its annual CSBG Information Survey Data Report and it reflects organization-wide outcomes. |

**Guidance:**
- See CSBG State Lead Agency for specifics.

**Agency Self-Assessment:**
- [ ] Met
- [ ] Not Met

**Documentation used: (Check all that apply)**
- [ ] IS Data Report
- [ ] Email or Upload Documentation Reflecting Submission
- [ ] Backup Documentation Gathered Agency-Wide To Support The IS Submission

**Any other documentation utilized to demonstrate the Standard?**

**Notes:**

**Action items/next steps to meet the Standard:**

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**DRAFT** Organizational Standards Assessment Tool – Self-Evaluation for Private CAAs